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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/672,261	09/25/2003	Mounir Emil Basibes	AUS920030616US1	8846
35525	7590	05/01/2007		
IBM CORP (YA) C/O YEE & ASSOCIATES PC P.O. BOX 802333 DALLAS, TX 75380			EXAMINER LASHLEY, LAUREL L	
			ART UNIT 2132	PAPER NUMBER
			MAIL DATE 05/01/2007	DELIVERY MODE PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

# Office Action Summary

Application No.

10/672,261

Applicant(s)

BASIBES ET AL.

Examiner

Laurel Lashley

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 06 February 2007.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-22 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-22 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: \_\_\_\_\_

## **DETAILED ACTION**

### ***Response to Amendment***

1. Applicant's amendments with respect to amended claims 1 – 4, 6, 7 – 11, 15 – 18 and 22 have been accepted. Therefore claims 1 – 22 are still pending.
2. The rejections of claims 4 and 6 under 35 USC § 112, second paragraph have been dutifully overcome and therefore withdrawn.
3. Applicant has also overcome the objections of claims 4, 11 and 18; therefore the objection is withdrawn.

### ***Response to Arguments***

4. Applicant's arguments filed 02/06/07 have been fully considered but they are not persuasive. With regard to claim 1, it is Applicant's assertion that Benson does not teach "responsive to matching an entry in an access control list of a specific resource with credentials of a process, granting a security identifier given by the access control list to the process, wherein the security identifier has no meaning outside of being used to make an access decision for the specific resource..." The Examiner respectfully disagrees. Benson et al. discloses a system identifier being verified against a system directory of a resource to determine its validity. After the identifier is validated, the user must then pass a security test. The user must not only have a valid association with the requested resource but must also possess a security identifier (e.g. permission level) for the desired resource in order to be granted access, otherwise a negative access decision would result (see column 3, lines 49 – 67). Since the Examiner believes "matching an entry" to be equivalent to "associating an entry", therefore Benson et al. is relevant to Applicant's claimed invention.

As for claim 2, Applicant argues that Benson does not teach "adding the security identifier to the credentials of the process to form an object access identifier, wherein the object

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access identifier is granted based on a path of execution." Benson et al. discloses that an association is made between a system identifier and resource-specific identifier if a security test is passed (see column 3, lines 59 – 60). As such the Examiner believes the resources-specific identifier to be equivalent to an object access identifier since the user's security component and credentials have already been processed, therefore Benson et al. is relevant to Applicant's claimed invention.

For claim 3, Applicant states that Benson fails to teach granting a security identifier to a process based on an identity of the process and a second process invoked by the process. The Examiner respectfully disagrees. Benson et al. teaches that user entered system identifier is validated then a security test must be passed to continue processing (column 3, lines 50 – 55). The system identifier along with a passed security test, initiate the process for requesting access to a specific resource within the system (see column 3, lines 57 – 60).

As for claim 7, the Applicant asserts that Benson fails to teach "comparing a second entry in the access control list with the credentials of the process; and responsive to the second entry matching the security identifier in the credentials of the process, generating an access decision that grants the process access to the specific resource, wherein the security identifier is a right in an access control list..." Benson discloses that a system identifier and process-specific identifier are associated as valid before a grant access decision is determined (see Abstract). The Examiner believes the resource specific identifier to be equivalent to a second entry of Applicant's claimed invention since it is after this comparison and authorization is processed that an access determination based on user rights (i.e. permission level) is made (see column 4, lines 1 – 9).

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Applicant's arguments with regard to limitations of claim 1 and similar claims 8, 15 and 22 are rejected based on analogous rationale; associated dependent claims are also rejected by virtue of dependency.

***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

5. Claims 1 – 22 are rejected under 35 U.S.C. 102(b) as being anticipated by Benson et al. in US Patent No. 5867646 (hereinafter US '646).

6. For claim 1 and similar claims 8, 15 and 22, US '646 discloses a method and apparatus for data processing system for managing access to resources, the method and apparatus comprising: responsive to matching an entry in an access control list of a specific resource with credentials of a process, granting a security identifier given by the access control list to the process, wherein the security identifier has no meaning outside of being used to make an access decision for the specific resource; and responsive to the process requesting access to the specific resource, generating the access decision based on the security identifier. (see Abstract; Figure 2; column 1, line 52 – column 2, lines 1 – 30)

For claim 2 and similar claim 9, US '646 teaches:  
wherein granting a security identifier given by the access control list to the process further comprises:

adding the security identifier to the credentials of the process to form an object access identifier, wherein the object access identifier is granted based on a path of execution. (see column 3, lines 48 – 50; Figure 2)

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For claim 3 and similar claim 10, US '646 teaches:

wherein granting a security identifier given by the access control list to the process further comprises:

adding the security identifier to the credentials of the process to form an object access identifier, wherein the object access identifier is granted based on an identity of the process and a second process invoked by the process. (see column 3, lines 49 – 64)

For claim 4 and similar claim 11, US '646 teaches:

wherein granting a security identifier given by the access control list to the process further comprises: setting the security identifier in an access control list operation. (see column 3, lines 4 – 8, 15 – 20 and 24 – 27)

For claim 5 and similar claim 12, US '646 teaches:

changing the security identifier in response to the process invoking a selected resource. (see column 3, lines 61 – 64)

For claim 6 and similar claim 13, US '646 teaches:

wherein granting a security identifier given by the access control list to the process further comprises:

using the security identifier as an identity in an access control list to identify a right to the specific resource. (see column 4, lines 1 – 8; Figure 2 - 3)

For claim 7 and similar claim 14, US '646 teaches:

wherein the entry in the access control list is a first entry and wherein generating the access decision based on the security identifier further comprises:

comparing a second entry in the access control list with the credentials of the process; and responsive to the second entry matching the security identifier in the credentials of the process,

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generating an access decision that grants the process access to the specific resource, wherein the security identifier is a right in an access control list. (see column 4, lines 1 – 8; Figure 2 – 3)

**Conclusion**

7. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. Larsen in US PGPub No. 2003/0154397 discloses a method and apparatus for implementing process-based security in a computer system.

8. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the mailing date of this final action.

9. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Laurel Lashley whose telephone number is 571-272-0693. The examiner can normally be reached on Monday - Thursday, alt Fridays btw 7:30 am & 5 pm.

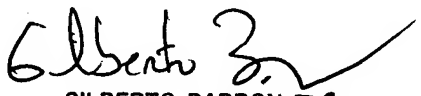
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gilberto Barron, Jr. can be reached on 571-272-3799. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Laurel Lashley  
Examiner  
Art Unit 2132

 27 April 2007  
LLL

  
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